

**Undergraduate and Postgraduate Taught Student Application form for ethical approval**

**College Ethics Committee for Non-Clinical Research Involving Human Subjects**

Before completing this form, you should refer to the guidance notes available at: <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/>

This application form should be typed, and submitted electronically. **All questions must be answered**.“Not applicable” is a satisfactory answer where appropriate.

Applications should be submitted ***at least 4 weeks in advance*** of the intended start date for the data collection to allow time for review and any amendments that may be required.

*Send to relevant* ***School Ethics Forum*** *(SEF) via email to School ethics administrative contact.*  Please see contact details on College ethics website. <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/committee/ethicscontacts/>

**1 Applicant Details**

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| --- |
| Student I.D. |
| Name of Applicant |
| School/Subject |
| Project Title |
| Postgraduate Taught |
| Undergraduate |
| (Programme Convenors Only)  Full Course Project within a PGT or UG Programme |

Submit application via email to School Ethics Administrator: see Ethics website for contact

<http://www.gla.ac.uk/colleges/socialsciences/students/ethics/committee/ethicscontacts/>

**1.1 Degree/Programme Title: *All student applicants***

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**2 Ethical Risks: The application will NOT be considered if this section is blank, both 2.1 and 2.2 must be completed by all Supervisors.**

**Risk Assessment:** Is this application considered to be a low risk or a high risk application?

Refer to **Risk Guidance** **Document** on College ethics webpages for clarification. <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/>

HIGH RISK  LOW RISK

**2.1 Explain specifically why the low or high risk distinction has been made.**

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**2.2 Risk Assessment Comments from Supervisor**

Comment on the research ethics risks involved in the project. It should be clear from the comments provided that the potential risks have been considered and information provided on what they are, with evidence of what is to be implemented to mitigate these.

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**Declaration: I have checked this application and approve it for submission for review to the Ethics Committee.**

**Supervisor’s Name :**

**Date:**

3 All Researcher(s) including research assistants and transcribers (where appropriate)

|  |  |  |  |
| --- | --- | --- | --- |
| Title and Surname | First Name | Phone | Email *(This should normally be a University of Glasgow email address)* |
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**All Supervisor(s)** **Principal First** (where applicable)

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| --- | --- | --- | --- |
| Title and Surname | First Name | Phone | Email *(This should normally be a University of Glasgow email address)* |
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**4 External funding details**

*Note. If this project is externally funded, please provide the name of the sponsor or funding body.*

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**5 Project Details**

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| **Start Date for Data Collection:** Click here to enter a date.  (NB: This refers to data collection for the research covered in this application. **This must be at least 4 weeks from the date of application submission**.)  **Proposed End Date of Research Project:** Click here to enter a date.  (NB: This date should be when you expect to have completed the full project and published the results e.g. date of award, allow time for possible retrieval if required.) |

**6 Justification for the Research**

**Why is this research significant to the wider community?** **What might be the impact on your practice or the practice of others?** Outline the reasons which lead you to be satisfied that the possible benefits to researchers; participants and others to be gained from the project justify any risks or discomfort involved.

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**7 Research Methodology and Data Collection**

**7.1 Method of data collection** (Tick as many as apply)

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| **Face to face or telephone interview** (provide a copy of the interview themes. This does not need to be an exact list of questions but does need to provide sufficient detail to enable reviewers to form a clear view of the project and its ethical implications.) |  |
| **Focus group** (provide details of themes or questions. This does not need to be an exact list of questions but does need to provide sufficient detail to enable reviewers to form a clear view of the project and its ethical implications. Also information on recording format) |  |
| **Audio or video-recording** interviewees or events. Details should be provided, either in theme/question information or separately. (Ensure that permission is evidenced on the consent form) |  |
| **Questionnaire** (provide a copy of at least indicative questions, final questions must be submitted as an amendment if not provided in initial application) |  |
| **Online questionnaire** (provide the address/ or electronic copy if not yet available online)  http:// |  |
| **Participant observation** (provide an observation proforma) |  |
| **Other methodology** (please provide details here – maximum 50 words) |  |

**7.2 Research Methods**

**Please explain the reason for the particular chosen method, the estimated time commitment required of participants and how the data will be analysed.** Ensure that you include reference to methods of providing confidentiality as you indicate below in section 8.1

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# 8 Confidentiality & Data Handling

8.1 Will the research involve:

\*You should select all options that apply to your (different) research methods (insert the name of the method in shaded box at top of each column, e.g. interview / questionnaire) and make clear in section 7.2 above how these will be applied.

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| *Degree of anonymity* | **(insert method)** | **(insert method)** | **(insert method)** |
| **De-identified samples or data** (i.e. **a reversible process** whereby identifiers are replaced by a code, to which the researcher retains the key, in a secure location? |  |  |  |
| **Anonymised samples or data** (i.e. **an irreversible process** whereby identifiers are removed from data and replaced by a code, with no record retained of how the code relates to the identifiers. It is then impossible to identify the individual to whom the sample of information relates)? |  |  |  |
| **Complete anonymity of participants** (i.e. researchers will not meet, or know the identity of participants, as participants are part of a random sample and are required to return responses with no form of personal identification)? |  |  |  |
| *Use of Names* |  |  |  |
| **Subject being referred to by pseudonym in any publication arising from the research?** |  |  |  |
| **Participants consent to being named?** |  |  |  |
| **Any other methods of protecting the privacy of participants?** (e.g. use of direct quotes with specific, written permission only; use of real name with specific, written permission only):  provide details here: |  |  |  |
| **Participants being made aware that** confidentiality may be impossible to guarantee; for example in the event of disclosure of harm or danger to participants or others; or due to size of sample, particular locations etc? |  |  |  |

# 8.2 Which of the following methods of assuring confidentiality of data will be implemented?

# \*Tick all that apply

# Note: The more ethically sensitive the data, the more secure will the conditions of storage be expected to be.

|  |  |
| --- | --- |
| Location of Storage Storage at University of Glasgow |  |
| Stored at another site  (provide details here, including address) |  |
| **Paper**  Data to be kept secure in locked room/facility/cabinet |  |
| Data and identifiers to be kept secure in locked room/facility/cabinet |  |
| **Electronic**  Access to computer files to be available by password only |  |
| **Other**  Any other method of securing confidentiality of data in storage:  provide details here: |  |

**9 Access to Data**

**9.1** Access by named researcher(s) and, where applicable, supervisor(s), examiner(s), research assistants,

transcribers.

**9.2** Access by people **OTHER** than named researcher(s)/Supervisor(s), examiner(s), research assistants,

transcribers.

Please explain by whom and for what purpose:

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**10** **Retention and Disposal of Personal Data \***

**Please explain and as appropriate justify your proposals for retention and/or disposal of any personal data to be collected.** *(for example names, addresses, contact information)*

It is normally appropriate to destroy the personal data at the end of the research project, if you do not intend to do so, you must provide **substantial** reasons in the box below.

Do you intend to destroy the personal data collected?

YES  NO

If no, provide your reasons here:

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*\* “(personal data means data which relate to a living individual who can be identified –*

1. *From those data, or*
2. *From those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.” Data Protection Act 1998 c.29 Part 1 Section 1*

Further Information on the Data Protection Act (1998) is available on the webpages of the Data Protection and Freedom of Information Office: <http://www.gla.ac.uk/services/dpfoioffice/>

**11** **Retention and Disposal of Research Data**

**Please explain and as appropriate justify your proposals for retention and/or disposal of research data to be collected.**

It is normally appropriate to destroy the research data at the end of the research project, if you do not intend to do so, you must provide **substantial** reasons in the box below.

Do you intend to destroy the research data collected?

YES  NO

If no, provide your reasons here:

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**12 Dissemination of Results.**

**12.1 Results** will be made available to **PARTICIPANTS as**: *(Tick all that apply)*

Note: Intended method of dissemination ought normally to take account of the age, capacities and situation of participants.

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| --- | --- |
| Written summary of results to all if requested | Presentation to representative participants *(e.g. CEO,*  *school principal)* |
| Verbal presentation to all (information session,  debriefing etc) | Other or None of the Above  Please explain here: |

**12.2** Results will be made available to **PEERS AND/OR COLLEAGUES** as: *(Tick all that apply)*

|  |  |
| --- | --- |
| Dissertation | Journal articles |
| Thesis *(e.g. PhD),* | Book |
| Submission | Conference Papers |
| Other or None of the Above  Please explain here: |  |

**13 Participants**

**13.1 Explain how you intend to recruit participants. Provide as much detail as you can about each different age/type of group as mentioned in 3.7b**

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# 13.2 Target Participant Group (Please indicate the targeted participant group by ticking all boxes that apply)

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| Students or Staff of the University | Adults (over 18 years old and competent to give  consent) |
| Children/legal minors (under 18 years old) | Adults (over 18 years who may **not** be competent  to give consent) |
| Young people aged 16-17 years |  |

If you require information on the age of legal capacity please refer to the Age of Legal Capacity (Scotland) Act 1991 available at: <http://www.legislation.gov.uk/ukpga/1991/50/contents>

**14 Incentives**

**If payment or any other incentive** (such as a gift or free services) will be made to any participants please specify the source and the amount of payment to be made and/or the source, nature and where applicable the approximate monetary value of the gift or free service to be used.

Please explain the justification for offering payment or other incentive.

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**15 Number of Participants** (give details of different age and types of groups involved)

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16 Dependent Relationship

Are any of the participants in a dependent relationship with any of the investigators, particularly those involved in recruiting for or conducting the project?(For example, a school pupil is in a dependent relationship with their teacher. Other examples of a dependent relationship include student/lecturer; patient/doctor; employee/employer)

YES  NO

If YES, explain the relationship and the steps to be taken by the investigators to ensure that the subject’s participation is purely voluntary and not influenced by the relationship in any way.

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**17 Location of Research**

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| University of Glasgow |  |
| Outside Location  Provide details of outside locations, including as much information as possible. |  |

##### 18 Permission to Access Participants

**18.1**  **Permissions/Access**

**Permission is normally required to gain access to research participants within an organisation** (e.g. Private Company; school; Local Authority; Voluntary Organisation; Overseas institution, Academic institution, including GU.)

Is this type of permission **applicable** **to** this application? YES  NO

**If Yes:**

Is evidence of this permission **provided** **with** this application?

YES  NO

**OR is it to follow?**

YES  NO

*(If this is the case, this must be forwarded to Ethics Administrator as soon as it is available.)*

**If No:**

Please explain any reason why you do not require permission to gain access to research participants.

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**18.2 Does this application involve contacting University of Glasgow students directly (specifically either via email or within classes) for the purposes of your research?**

YES  NO

**If YES, separate** permission to survey students needs to be obtained prior to any such survey being undertaken. Normally this permission should be sought from the **appropriate authority after** ethical approval has been granted. (See Information for Applicants <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/> for details).

Once obtained, a copy of this permission must be forwarded to the Ethics Administrator.

Please list the student participants that you intend to contact (e.g. 12 students from TESOL course)

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**19** Is this application being submitted to another Ethics Committee, or has it been previously submitted to another Ethics Committee?

YES  NO

If YES, please provide name and location of the ethics committee and the result of the application.

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**20 Informed Consent**

20.1a Have you attached your Plain Language Statement (PLS) (also known as Participant Information Sheet)for participants? You must consult the guidance at: <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/> for information that you are required to provide in this.

The Plain Language Statement is written information in plain language that you will provide to participants to explain the project and invite their participation. Contact details for Supervisor and School Ethics Officer MUST be included.

YES  NO

**If No,** please explain here.

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**20.1b** **Please note that a copy of this information sheet should be offered to the participant to keep unless there are specific reasons for not doing so. These must be clearly explained below**

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**20.1c What arrangements have been made for participants who might not adequately understand verbal explanations or written information or who have special communication needs in the preparation of the Participant Information Sheet/Plain Language Statement?**  *(e.g. the use of child friendly language, or where English as a second language)*

Provide details here.

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21 How will informed consent by individual participants or guardians be evidenced?

# In normal circumstances it will be expected that written evidence of informed consent will be obtained and retained, and that a formal consent form will be used: a copy of which should be should be provided.

# *If written evidence of informed consent is not to be obtained a substantial justification of why not should be provided.*

# *(Note: Please ensure that you have checked the box for all types of consent to be used, e.g. signed consent form for interviews/ implied for questionnaires.)*

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| Signed consent form | Recorded verbal consent |
| Implied by return of survey | Other  Provide details here: |

**Justification if written evidence of informed consent is not to be obtained and retained:**

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**22 Monitoring**

**Describe how the project will be monitored to ensure that the research is being carried out as approved** (e.g. give details of regular meetings/email contact).

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**23Health and Safety**

What are the potential issues of personal safety for you, other researchers or participants involved in the project and how will you manage them? *(Other than lone field work – refer to question 24.1 for this)*

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**24 Risk**

**24.1 Does the activity involve lone field work, lone working or travel to unfamiliar places?**  (E.g. Carrying out interviews alone and off-campus) You should refer to the Risk Guidance at: <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/>

*NB: This does not apply to working within an institution such as a school.*

YES  NO

Give details here of arrangements to minimise risks pertaining to this.

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**24.2 How will you ensure that you minimise any possible distress caused to participants by the research process?**

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**24.3 How would you respond if you think that the participant has become distressed by any of the issues raised by the research?** *(Examples of distress: emotional, psychological, economic, health)*

Contact Supervisor

Contact details of support organisations provided on PLS/Information Sheet

Provide details of support organisations at interview

Any other responses you propose to provide:

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**24.4 Does this research involve any sensitive topics or vulnerable groups? You should refer to the Risk Guidance at:** <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/>

YES  NO

Give details here of arrangements to minimise risks pertaining to this.

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25 Protection of Vulnerable Groups

Does this project require Protection of Vulnerable Groups (PVG) clearance?

YES  NO

If Yes, evidence that this has been obtained **MUST** be provided with this application.

If PVG registration is held or an application is currently in progress, please provide details here:

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The Protection of Vulnerable Groups (Scotland) Act 2007 came into effect on 28 February 2011. This replaced the previous Disclosure Scotland checking system for individuals who work with children and/or protected adults.

The University is a Registered Body under this legislation.

Please consult the University Protection of Vulnerable Groups Scheme webpages <http://www.gla.ac.uk/services/humanresources/mgrs-admin/mgr-guidance/pvgscheme/> for guidance.

Further information is available from:

[https://www.mygov.scot/disclosure- types/?via=http://www.disclosurescotland.co.uk/](https://www.mygov.scot/disclosure-%20types/?via=http://www.disclosurescotland.co.uk/)

(Disclosure Scotland)

26 Insurance

Does this research come under the exclusions to the University insurance cover for research?

YES  NO

If Yes: Please explain and detail how you intend to cover the insurance needs for this research?

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The University insurance cover is restricted in certain, specific circumstances, e.g., the use of hazardous materials, work overseas, research into pregnancy and conception and numbers of participants in excess of 5000. Please refer to the Insurance and Indemnity advice on the website given below. Advice or authorisation given must be included with this application.

*Information may be available at this link:* [*http://www.gla.ac.uk/services/finance/staffsections/insuranceandrisk/*](http://www.gla.ac.uk/services/finance/staffsections/insuranceandrisk/)

*(If you have a problem accessing this link, please try a different browser e.g. Firefox instead of Internet Explorer.)*

**27 UK and Scottish Government Legislation**

Have you made yourself familiar with the requirements of the

**Data Protection Act (1998)** <https://ico.org.uk/for-organisations/guide-to-data-protection/> and the

**Freedom of Information (Scotland) Act 2002?**  <http://www.itspublicknowledge.info/Law/FOISA.aspx>

YES  NO

If NO please explain

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See **Application Guidance Notes** available from: [http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/](http://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/%20%20)  for further information.

In addition visit: <http://www.gla.ac.uk/services/dpfoioffice/> for University guidance on Data Protection.

The **Freedom of Information Act 2002 [“FOI”]** provides a general right of access to most of the recorded information that is held by the University. The Act sets out a number of exemptions/exceptions to this right of access.

**! Declaration over page must be signed/completed. The application will be returned if it is not.**

**28 Declarations by Researcher(s) and Supervisor(s)**

**The application will NOT be accepted if this section is blank or incomplete**

* The information contained herein is, to the best of my knowledge and belief, accurate.
* I have read the University’s current human ethics guidelines, and accept responsibility for the conduct of the

procedures set out in the attached application in accordance with the guidelines, the University’s Code of Conduct for Research and any other condition laid down by the University of Glasgow Ethics Committee and the College of Social Sciences Ethics Committee.

*NB: Full details of the University’s ethics guidelines are available at:* <http://www.gla.ac.uk/research/aims/ourpolicies/committeestructure/>

* I and my co-researcher(s) or supporting staff have the appropriate qualifications, experience and facilities to

conduct the research set out in the attached application and to deal effectively with any emergencies and contingencies related to the research that may arise.

* I understand that **no** research work involving human participants or data collection can commence until I have

been granted full ethical approval by the School Ethics Forum (UG & PGT students only).

**This section MUST be completed** to confirm acceptance of Code of Conduct. If there is no scanned signature then please type the names (or use GUID) and date into the boxes below.

Signature Date

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| --- | --- | --- |
| Researcher  *(All applicants)* |  |  |
| Principal Supervisor |  |  |

**For Supervisors – Please note that by submitting this application the supervisor confirms that:**

* The student is aware of the College ethics requirements.
* The topic merits further research.
* The student has the relevant skills to begin research.
* If interviewing, the student has produced an appropriate information sheet for participants.
* The procedures for recruitment and obtaining informed consent are appropriate.

**End of Application Form ………………………………………………………………………………………………………………….**

**Applications should be submitted electronically as follows:**

*Send to relevant* ***School Ethics Forum*** *(SEF) via email to School ethics administrative contact.*  Please see contact details on College ethics website. <http://www.gla.ac.uk/colleges/socialsciences/students/ethics/committee/ethicscontacts/>

**Important Note:**

**Either** student e-mails the application to their supervisor, who checks it and submits it to their local SEF contact. (***Education, Social and Political Sciences, Adam Smith Business School, Interdisciplinary Studies requires this process***)

**Or** student submits the application and the supervisor sends a supporting email direct to the SEF contact

(***Law allows this option***)

*(Checklist follows over page…)*

**Application Form Checklist: This is for your own use: do not submit with application**

|  |  |
| --- | --- |
| Are all fields completed? |  |
| Has the supervisor signed and dated Section 2.2 *and* 28? |  |
| Are you submitting your application 4 weeks in advance of your data collection? |  |
| Have you included a Plain Language Statement? |  |
| Have you included a Consent Form? |  |
| Have you included Interview Themes/Questionnaire/Observation Proforma? |  |
| Have you provided details of numbers/circumstances of participants? |  |
| Are you aware of the procedure for written permission, and when to obtain this? |  |